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ABSTRACT

To find out to what extent the evaluation methods described in the professional literature are actually utilized by practicing librarians, a study was conducted of the collection evaluation practices in 111 libraries supporting four-year colleges. Three assumptions were tested; that collection evaluation in the population would be more heavily weighted toward the quantitative techniques; that evaluations would tend to be limited in scope rather than comprehensive; that evaluation activity would not be formalized by written final reports and recommendations. Data collected from questionnaires supported only the last two assumptions, which led to the conclusion that collection evaluation activities were more widespread in the population than had been expected, but that much of such activity was ineffective because of a failure to conceive of evaluation as a process. (Author/SK)

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COLLECTION EVALUATION IN THE COLLEGE LIBRARY

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ABSTRACT

The study dealt with collection evaluation practices in libraries supporting colleges which emphasize four-year undergraduate programs. The purpose of the research was to see whether and to what extent the evaluation methods described in the professional literature had actually been used by practicing librarians in 111 libraries in ten of the western United States. On the basis of a search of the literature, a questionnaire was constructed which covered most of the basic evaluation methods, dividing them into quantitative and qualitative techniques. The questionnaire was sent to the directors of the libraries in the population. The assumptions tested by the study were three: 1) that collection evaluation in the population would be more heavily weighted toward the quantitative techniques than the qualitative; 2) that evaluations would tend to be limited in scope rather than comprehensive; and 3) that evaluation activity would not be formalized by written final reports and recommendations. The data from the questionnaires were analyzed with the aide of a computer. Analysis of the data supported assumptions two and three, but not assumption one. The author concluded that collection evaluation activities were more widespread in the population than had been expected. However, much of this activity was ineffective because of a failure to conceive of evaluation as a process.

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INTRODUCTION

Any human endeavor, of an individual or an organization, requires an element of planning if it is to meet with success. Such planning must be based on an appraisal or evaluation of the current state or condition of the endeavor. The "Is" must be ascertained in order for the "Ought" to be attainable. It is a truism that progress requires locating where one is in order to move to a more desired position.

A library is a social organization the basic purpose of which is to provide desired information for a specific community or public. That community may be a group of elementary school children whose information needs are very broad and general, or a group of research engineers whose information needs are highly focused and technical. An overall evaluation of a library ought to be based on its relative success or failure in meeting the actual and potential information needs of the community which it serves. Of the numerous facets of library practice which relate to fulfilling the primary goal of supplying information, technical services, circulation, reference, or administration, for example, none is more basic than the development of the collection itself. Information cannot be supplied unless the library has it available within its "memory bank." In academic libraries, the information store must reflect and meet the needs of the educational program of the sponsoring institution or it has failed relatively. Most

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of the activities that go on in libraries look to the collection and the use made of it for their raison d'être.

Often the library's collection of books and periodicals is evaluated on the assumption that the state of the collection will provide the best concrete evidence of how the library is fulfilling its mission. The evaluation or survey of the collection may aim at such secondary goals as discovering and making known the strengths and weaknesses of the collection for researchers, facilitating library use by acquainting the faculty with relevant collections, and aiding interlibrary lending. However, Edwin Williams saw all evaluations as aiming ultimately at the improvement of the collection by pointing out deficiencies as well as strengths.[1] Louis Wilson and Maurice Tauber saw the evaluation ofthe collection as being the necessary first step in any collection building program.[2] Only on the basis of a preliminary evaluation of materials which the library already possesses can the library staff formulate a realistic and intelligent acquisitions policy with a statement of priorities. Not only does the evaluation provide focus to the acquisitions program. William Webb of the University of Colorado Library argued that an evaluation can demonstrate library needs to administrators in such a way that they can act upon them and are motivated to do so.[3] Several librarians saw an increased

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[1]Edwin E. Williams, "Surveying Library Collections," in Library Surveys, eds. Maurice F. Tauber and Irlene R. Stephens (New York: Columbia University Press, 1967), p. 27.

[2]Louis R. Wilson and Maurice F. Tauber, The University Library, 2d ed. (New York: Columbia University Press, 1956), p. 356.

[3]William Webb, "Project CoED: A University Library

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level of staff professionalism as being a by-product of the collection evaluation process.

The literature of librarianship is replete with the principles and techniques to be used in evaluating book collections. These methods have been developed by librarians who wanted an answer to the question "How good is this library's collection?" Some methods reflect a primary concern for qualitative information. Other techniques employ quantitative measures based on statistical comparisons with other institutions and have little or no direct relationship to the intellectual content of the books themselves. Some methods are very time consuming, while others are relatively quickly performed. Some methods require a knowledge of bibliographic search techniques, while others require statistical expertise. Regardless of the methods discussed, underlying all of the literature is the implicit assumption that the evaluation of library collections lies at the heart of the professional responsibility of the librarian. This is the fundamental assumption upon which the following study was based.

Collection and Development Program," Library Resources and Technical Services 13 (Fall 1969): 462.

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CHAPTER I

THE PROBLEM: COLLECTION EVALUATION IN THEORY AND PRACTICE

Statement of the Problem

The process of collection evaluation is one which concerns librarians of all types of libraries, and which, according to the literature, should occupy a central position among their professional responsibilities. The purpose of the study was to find how the ideal world described in the literature was reflected in the world of practice in college libraries in the western United States. The problem was to find, through the use of a questionnaire, the extent to which the basic methods of evaluation outlined in the literature actually had been employed in the college libraries surveyed. Had librarians evaluated their collections? If so, which methods and tools had been used most, which had been used least? These were the basic questions which the study sought to answer.

Methodology

The general methodological approach to the problem was as follows. The professional literature was first searched for discussions of the rationales and methods of collection evaluation. On the basis of this search (the results of which constitute chapter II of this paper) a questionnaire was constructed to serve as a tool for surveying collection evaluation practice in college

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libraries. The questionnaire covered most of the basic techniques found in the literature. The questionnaire was mailed to the directors of college libraries in ten of the western United States for their responses. The information from the returned questionnaires was keypunched and computer tabulated into frequency distributions. The resulting data described evaluation practices in the libraries which responded, and provided a basis for answering the questions originally posed by the study: "Are college librarians in the western States evaluating their libraries' collections?" and "Which methods and tools are most and least used by these librarians?" (For a detailed discussion of methodology see Chapter III on data collection.)

Delimitation of the Problem

The study was concerned only with collection evaluation in academic libraries, and more specifically, with college libraries, as opposed to those associated with junior colleges or universities. The 1959 "A.L.A. Standards for College Libraries" ("Standards") provided the definition of the term "college library" which was used in identifying the population to be surveyed. According to the "Standards" college libraries are those which support institutions of higher learning ". . . which emphasize four-year undergraduate instruction and may or may not have graduate programs leading to a Master's degree."[1] For the purposes of the study, then, a "college" offered at least a Bachelor's degree and at most a

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[1]"A.L.A. Standards for College Libraries," College and Research Libraries 20 (July 1959): 274.

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Master's degree in one or more subjects. Junior colleges offering trade-technical education and an Associate degree, and universities stressing advanced research beyond the Master's degree were both excluded. There were other reasons for excluding these two types and settling on the college library. Too often, junior colleges lack the size and financial support necessary to a fully functioning library operation. On the other hand, the problems of collection evaluation in a library supporting diverse and advanced research by graduates and faculty are increased by a magnitude over those of the college library.

The concern of the study was to examine what these college librarians had done regarding collection evaluation. The study did not deal with what these librarians thought they ought to have done. The study sought to describe practice, not attitudes per se.

Because of the centrality, in theory at least, of collection evaluation to library functions, the researcher raises inevitably at every turn other closely related issues which in themselves could constitute worthy topics for research, and which at the least invite comment. The area of acquisitions is a case in point. It is nearly impossible to separate the processes of collection building and collection evaluation since both employ parallel patterns. For example, acquisitions programs will usually specify depth levels to which collecting in the various subject areas is to be done, e.g., basic reference, basic instruction, working collection, and definitive research collection. These same basic classifications are used in evaluating the collection. Thus, collection building and collection evaluation are two sides of the

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same coin. The study focused on the evaluation aspect.

Guy Lyle suggested that a collection evaluation should include the acquisitions program and procedures of the library.[1] This makes eminent sense for the practicing librarian, but makes the topic unmanageable for a research project of the scope envisioned here. While it is true that wise acquisitions policies for current materials will result over time in an excellent collection, this study dealt only with the evaluation of collections at a given point in time, the present. Mary Cassata and Gene Dewey, librarians at the State University of New York at Buffalo, provided support for this decision in asserting that the methods of selection of current materials have no direct relationship to the evaluation of the library's extant collections.[2] Thus, selection procedures, acquisitions policies, and subject profiles for blanket-order or approval plans, while being closely related to collection evaluation, were excluded from direct consideration in the questionnaire and the paper.

Library statistics are most important in collection evaluation theory and practice. Yet the practice of collecting these statistics is in a state of chaos. The study was concerned only with the question of whether statistics had been collected and consulted, and specifically which statistics had been collected. The study was not concerned with the standardization or validity

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[1]Guy R. Lyle, The Administration of the College Library, 3d ed. (New York: H. W. Wilson, 1961), p. 401.

[2]Mary B. Cassata and Gene L. Dewey, "The Evaluation of a University Library Collection: Some Guidelines," Library Resources and Technical Services 13 (Fall 1969): 454.

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of the statistics collected, or the procedures used in generating them. Both library standards and accreditation requirements were excluded from explicit treatment in the study, in spite of the fact that they loom large in the background of collection evaluation activities.

Finally, to underscore a point made earlier, the study did not deal explicitly with attitudes or motivations of librarians in collection evaluation activities. Nor did it deal with long-term results of such evaluations. The only concern was with the fact that evaluation activities had or had not taken place, and that various types of evaluation tools and procedures had or had not been used.

Hypotheses

The research plan was neither constructed nor intended to generate data by which hypotheses could be statistically tested. The study was of a purely descriptive nature. The data from the questionnaires did yield percentages and frequency distributions which provided a description of evaluation practices within those libraries in the population which returned the questionnaire. It was assumed that 1) quantitative techniques involving the use of library statistics would be used by a higher percentage of the libraries responding than qualitative techniques involving bibliographic checking; 2) in the majority of libraries responding collection evaluation would be of the limited type involving specific parts of the collection, rather than comprehensive; and 3) in the majority of libraries collection evaluations would not be formalized by final written status reports and recommendations.

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CHAPTER II

COLLECTION EVALUATION IN THE LITERATURE

Introduction

A search of the literature revealed one basic principle of collection evaluation which is applicable broadly regardless of the particular methods employed. Any collection evaluation must be based on a conscious and deliberate consideration of the goals and objectives of the library.[1] A regularly updated, written statement carefully determining and clearly stating the objectives of the library should serve as the framework within which an objective evaluation of the collection can be made. This principle of tying the evaluation to the objectives of the library has important consequences in determining which specific methods and tools should be used.

Two other ideas have general relevance. First, the techniques discussed can be used within the context of a comprehensive and systematic evaluation of the library's entire collection, or in more limited evaluations which focus on specific subject portions of the collection. Second, implied in all of the literature is the idea that genuine evaluations will produce written status reports or recommendations to guide future collection building.

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[1]George S. Bonn, "Evaluation of the Collection," Library Trends 22 (January 1974): 296.

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Lewis Steig wrote, "Any evaluation of the book collection is usually entirely subjective in nature and is based upon the opinions of librarians, faculty members, and, all too rarely, of students."[1] While a subjective evaluation by experts is still considered to be a most useful and legitimate technique, numerous other techniques have been discussed in the literature, all of which are calculated to move evaluation from the purely subjective to the objective realm. These techniques have been broadly classified by Alan Covey as being either primarily qualitative or quantitative.[2] Qualitative techniques are concerned with the informational quality of the books within the context of the individual library's situation. The quantitative approach to collection evaluation employs the use of statistics exclusively, and is not explicitly concerned with the informational qualities of the collection. It is perhaps more accurate to say these methods assume that the aspect of quality is reflected in the various statistical indexes that are used.

Quantitative Techniques of Evaluation

Covey stressed the desirability of qualitative criteria over the quantitative variety.[3] Guy Lyle flatly denied the possibility of measuring the adequacy of the collection in quantitative terms. "To judge a collection superior cr inferior on the

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[1]Lewis F. Steig, "A Technique for Evaluating the College Library Book Collection," Library Quarterly 13 (January 1943): 34.

[2]Alan D. Covey, "Evaluation of College Libraries for Accreditation Purposes" (Ph.D dissertation, Stanford University, 1955), p. 61.

[3]Ibid.

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basis of the volume holdings is as absurd as rating a college on the basis of its enrolment."[1] Nevertheless, various statistics and a formula based on quantitative measures, the Clapp-Jordan formula, are regularly used by college librarians in making evaluations of collection adequacy.

Collection of Statistics

Among the most commonly collected library statistics are: total volumes held, volumes added per year, subject balance of the collection, unfilled book requests, interlibrary loan requests, circulation figures, and book expenditures.[2]

Total Volumes in the Collection

This measure is simply a straight count of the total volumes in the library. It may be broken down by subject area or class of material, and it is used in the per capita indexes which are often reported in statistical sources. In spite of Lyle's objections, it is widely agreed that library size, particularly in the academic area, does reflect quality to a certain degree.[3]

Volumes Added Per Year

Again, this measure is simply a straight count of total acquisitions per year. Some consider this figure to be more

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[1] Lyle Administration, p. 399.

[2] For surveys of the quantitative methods discussed below see the following: Bonn, "Evaluation of the Collection," pp. 267-74; Covey, "Evaluation of College Libraries," pp. 61-72; and Elizabeth O. Stone, "Measuring the College Book Collection," Library Journal 66 (November 1941): 941-3.

[3] Williams, "Surveying Library Collections," pp. 29-30.

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significant than the growth rate. For evaluation purposes it is usually considered along with gross size. This statistic reflects on the recency of the collection.

Subject Balance of the Collection

This measure analyzes the collection by the proportion of holdings in the various subject areas for the purpose of indicating subject strengths and weaknesses. These figures are often then compared to similar analyses of opening-day collections and recommended percentages.

Unfilled Requests

These figures are kept for books and periodicals. They are of value in that they tie user needs directly to the holdings and indicate subject areas as well as titles that are either deficient or not available.

Interlibrary Loan Requests

These figures are closely related to the unfilled requests discussed above, as well as the circulation figures discussed below. Analysis of interlibrary loan requests by subject can have important implications concerning the state of the collections and the focus of the acquisitions program.

Circulation Figures

Gross circulation statistics can be useful in indicating library use through comparisons, and are often broken down by type of user. Proportionate circulation statistics by subject class can provide a check on the focus of acquisitions when they are

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compared with statistics on the proportionate subject holdings of the library.

Annual Expenditures

Annual budget figures are given for books, periodicals and salaries. They are deemed useful in evaluating collections on the assumption that collection adequacy depends on continuing financial support for new materials and for professional development. Nevertheless, "bad" books can be purchased as easily as "good" ones. Selection makes the difference.

Clapp-Jordan Formula

A new development in the quantitative evaluation of academic library collections came in 1965, when Verner Clapp and Robert Jordan published their formula. Clearly drawing on approaches developed in the 1959 "Standards,"[1] the Clapp-Jordan formula allows a librarian to establish a quantitative standard of adequacy of library resources for his college or university. Factors providing input for the formula include a carefully chosen core collection of about 50,000 volumes, plus a specified number of additional books, periodicals, and government documents per student, per faculty member, and per subject field on the Bachelor's, Master's, and doctoral levels.[2] The formula has received widespread consideration and use. The formula makes no differentiation between the

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[1]"Standards," p. 278.

[2]Verner W. Clapp and Robert F. Jordan. "Quantitative Criteria for Adequacy of Academic Library Collections," College and Research Libraries 26 (September 1965): 371-82.

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types of information needs of the various disciplines. Because of this fact the formula gives very little information on what the internal composition of the collection should be, either for the purpose of evaluation or of guiding acquisitions. The formula simply provides gross totals. The authors indicated that intelligent selection is assumed.

Summary

Socrates pointed out that to define man as a creature having two legs and no feathers is unsound, for the definition applies equally well to a plucked chicken. To define a "good" library collection, or to evaluate a collection, exclusively by counting its books is perhaps equally dangerous. It is conceivable that a library's collection could meet the explicit quantitative standard of adequacy established by the Clapp-Jordan formula, or compare well statistically with other admittedly "good" libraries, and yet fail miserably in meeting the information needs of its public. Sophisticated users of library statistics recognize that caution must be used in interpreting them.

The quantitative methods attempt to provide unambiguous and easily acquired data by which the collections may be judged. These techniques represent an attempt to accommodate the need for evaluation and control of the collection with the practical constraints imposed by the library routine and budget. Clearly, however, quantitative methods alone are insufficient, for the quality of information in the collections must also be determined.

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Qualitative Techniques of Evaluation

Assessing the quality, as opposed to the quantity, of a collection is a relatively difficult endeavor, yet one which must be undertaken if evaluation is to be meaningful. The three most commonly discussed methods of examining the quality of the collection are: the use of user opinion, the use of checklist bibliographies, and finally, the use of direct, physical observation of the collection by an expert.[1]

User Opinion

If libraries are meant to fulfill the information needs of their users, then it follows that the users should have a special knowledge of relevance to the qualitative character of the collection. They will be acquainted with specific weaknesses and strengths of the collection although it is probable that the general state of the collection will be a matter of indifference to them. Harry Bach claimed an advantage for this method over bibliographic checking when used with faculty, because the faculty member will be familiar with the use of the collection by himself and his students.[2]

If user opinion is to be effective in collection evaluation

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[1]For surveys of the qualitative methods discussed below see the following: Bonn, "Evaluation of the Collection," pp. 274-83; Covey, "Evaluation of College Libraries," pp. 72-92; and Rudolph Hirsch, "Evaluation of Book Collections," in Library Evaluation, ed. Wayne S. Yenawine (Syracuse, N.Y.: Syracuse University Press, 1959), pp. 13-16.

[2]Harry Bach, "Evaluation of the University Library Collection," Library Resources and Technical Services 2 (Winter 1958): 26.

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it must be systematically sought, although this may be done in a formal or an informal manner. An impressive example of the use of this method was the survey of the Columbia University Libraries. Three specialized questionnaires were developed to poll the opinion of faculty members, researchers, and students, and follow-up interviews were held with key faculty members.[1]

One difficulty in this method lies in the fact that "experts" sometimes disagree. Finally, even if the collection is meeting the needs of its users, it does not necessarily follow that the collection is good and cannot be improved.

Checklist Bibliographies

Perhaps the most widely used technique for evaluating the quality of the information content of a collection is checking the library's holdings against book lists. William Randall employed this technique in his 1932 evaluation of several liberal arts colleges.[2] The most massive use of lists in a single library survey was in the University of Chicago Survey of 1932. Under the direction of Llewellyn Raney over 400 bibliographies were examined and checked against library holdings.[3] More recently the University

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[1]Maurice F. Tauber, C. Donald Cook, and Richard H. Logsden, The Columbia University Libraries (New York: Columbia University Press, 1958), pp. 259-306.

[2]William M. Randall, The College Library: A Descriptive Study of the Libraries in Four-Year Liberal Arts Colleges in the United States (Chicago: American Library Association and the University of Chicago Press, 1932).

[3]M. Llewellyn Raney, The University Libraries (Chicago: University of Chicago Press, 1939), p. 4.

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of Idaho published evaluations of portions of its collections which relied heavily on the use of checklists.[1] It is perhaps significant to note that the 1959 "Standards" directed that "Library holdings should be checked frequently against standard bibliographies, both general and subject, as a reliable measure of their quality."[2]

When a list is used as an evaluative tool the procedure is to check the holdings of the library against the bibliography and indicate the percentage of titles held. William Webb indicated that a sampling technique had been used initially at the University of Colorado to cut down the amount of checking necessary to identify gaps in the collection which could then be filled.[3] The survey report should include the percentage figures and may also include lists of desiderata. If books to be acquired are listed, however, the process has changed from evaluation to selection and acquisition.

There are numerous types of lists which have been used in collection evaluation. Each type serves a different purpose and is more or less appropriate depending upon the status of the collections and the roles envisioned for it. Some of these basic

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[1] See the following: Richard J. Beck, "Evaluation of the Holdings in Science and Technology in the University of Idaho Library," Bookmark 11 Supplement (June 1959): 1-25; R. W. Burns, Evaluation of the Holdings in Science and Technology in the University of Idaho Library, (Bethesda, Md.: ERIC Document Reproduction Service, ED 021 579, 1968): and Charles Webbert, "Evaluation of the Holdings in Social Science in the University of Idaho Library," Bookmark 14 Supplement (March 1962): 1-18.

[2] "Standards," p. 277.

[3] Webb, "Project CoED," p. 458.

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types include standardized general lists, specialized subject bibliographies and guides to the subject literatures, lists of reference works, lists of periodicals, ad hoc lists, citations, and current lists.

Basic General Lists

Three titles which typify this group include Books for College Libraries,[1] Julian Street Library,[2] and Catalog of the Lamont Library.[3] The first list is a list prepared originally for the new campuses program of the University of California. The latter two are shelf lists of the undergraduate libraries at Princeton and Harvard respectively. Each of the three lists books thought to be of primary importance to a core undergraduate collection. With this in mind, it is obvious that these lists will be of most use in evaluating the smaller, newer, less well-established academic libraries.

Specialized Subject Bibliographies

Lists in this group are usually published by professional, technical or learned societies. The group includes guides to subject literatures and definitive bibliographies of subject areas. Such lists are often used in conjunction with the general lists, or alone for evaluating more heavily developed collections.

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[1]Melvin J. Voigt and Joseph H. Treyz, Books for College Libraries (Chicago: American Library Association, 1967).

[2]Princeton University, Julian Street Library (New York: Bowker, 1966).

[3]Harvard University, Catalog of the Lamont Library (Cambridge, Mass.: Harvard University Press, 1953).

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Lists of Reference Works

Probably the most widely used list in this area is Winchell's Guide to Reference Books.[1] One researcher concluded that the quality of the reference collections directly reflects the quality of the collections generally.[2]

Lists of Periodicals

In academic libraries the periodical holdings are of particular importance. Lists of preferred titles include Guy Lyle's Classified List of Periodicals for the College Library, which now goes by the name of its new editor, Evan Farber,[3] and Charles Brown's citations study, Scientific Serials.[4] The various periodical indexes are also useful in evaluating holdings in this area.

Ad Hoc Lists

These lists are drawn specifically for the evaluation of a collection by the evaluator, and thus, are matched to the library's particular objectives and interests. For this reason, ad hoc lists are considered to be considerably more effective and reliable evaluators of quality in a specific library than

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[1]Constance M. Winchell, Guide to Reference Books, 8th ed. (Chicago: American Library Association, 1967).

[2]Bonn, "Evaluation of the Collection," p. 277.

[3]Evan I. Farber, Classified List of Periodicals for the College Library, 5th ed. (Westwood, Mass: Faxon, 1972).

[4]Charles Brown, Scientific Serials (Chicago: Association of College and Research Libraries, 1956).

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basic general lists.[1]

Citations

The question asked when using this method is: "Could this research have been produced in this library?" Sources of citations include theses, dissertations, journal articles, definitive works, and texts, to name several. The two basic assumptions of the method are first, that the two libraries being compared, the one being evaluated and the one hypothetically used by the author, are similar in size and purpose; and second, that the work being checked is of the type that ought to be written in the present library. If either of these two assumptions does not apply, then the citation method is inappropriate.

Current Lists

This group of lists includes "best book" lists of various sorts, and in practice is not so much a guide to the evaluation of quality as it becomes an acquisitions list.

Course Reading Lists

Such lists as course bibliographies will rank high in priority for acquisition. They are, however, relatively less useful for the purpose of evaluation.

The checklist method has been criticized on several points. Bibliographic checking is tedious, time-consuming and costly. The lists themselves by their nature represent arbitrary selections

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[1]See Bonn, "Evaluation of the Collection," p. 275, and Hirsch, "Evaluation of Book Collections," p. 15.

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of titles which have no necessary relationship with the particular needs and goals of the library being evaluated. Published lists rapidly become outdated unless they are regularly revised. The list may previously have been used as a selection-acquisition guide, in which case its value as an evaluator is nullified. The list cannot take into account books which the library has but which do not appear on the list. Yet, such books may be equal to, or better than, the books which appear on the list. Finally, some critics maintain that because standards of quality are so elusive, bibliographic checking cannot evaluate quality any more effectively than the statistical approach. The result with a checklist survey is simply a statistic, too, the absolute number or percentage of works listed which the library owns. In spite of its weaknesses, the checklist method is still considered by many to be the best evaluator of quality in a collection, provided the list is up-to-date and viewed in the light of library use.[1]

Direct Observation

Rudolph Hirsch has labeled this method "impressionistic."[2] (No negative connotation is intended.) Lyle refers to this method as "first-hand examination."[3] The technique is admittedly unscientific and subjective, yet it is still considered by many to be legitimate and useful. The method requires a subject expert who is very familiar with the literature and with the library. To

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[1] Bonn, "Evaluation of the Collection," pp. 275, 279.

[2] Hirsch, "Evaluation of Book Collections," p. 13.

[3] Lyle Administration, p. 399.

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such a person, direct observation can indicate such factors as size, balance, scope, depth and recency of the collections.

Summary

The search of the literature revealed numerous evaluative techniques which, for the purposes of exposition here, were classified as being primarily either qualitative or quantitative measures, although the distinction on close examination begins to break down. Generally speaking, qualitative measures emphasize the information content of the books held, while quantitative measures deal with the collection in the aggregate through the use of statistics. It was seen that strengths and weaknesses are associated with each technique and tool discussed, and that, consequently, the evaluator would have to exercise judgment in their selection and use. There was general agreement in the literature that methods from both groups should be used simultaneously in complementary fashion in any collection evaluation, either comprehensive or limited in scope, in order to provide checks against the weaknesses of each technique. Finally, any evaluation must be done on the basis of a consideration of the goals of the library being evaluated. And if the evaluation is to have an impact on collection development, it was thought that a written report of some type would improve that prospect.

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CHAPTER III

COLLECTION OF THE DATA

The Questionnaire

The search of the literature identified most of the basic principles, methods and tools associated with collection evaluation in academic libraries. On the basis of this information a questionnaire was constructed to survey the use of the various methods in the college library setting. The questionnaire was short, consisting of thirty-eight closed questions on two pages, and reflected collection evaluation as a process of interrelated steps. The process begins with a written statement of library goals, and is followed by the use of the various methods including the collection of statistics, the application of the Clapp-Jordan formula, the use of user opinion surveys, the use of checklist bibliographies, and the use of direct observation of the collection. The process ends with a written statement on the status of the collection and on recommendations for future collection building. Two of the questions explicitly asked whether a comprehensive evaluation involving all of the collection, or limited evaluations involving only portions of the collection, had been done, and if so, when it had been accomplished.

The last seven questions asked for the following specific statistics for each library: total volumes held in 1970-71,

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volumes added in 1970-71, book expenditures in 1970-71, volumes per Full Time Equivalent (FTE) student in 1970, expenditures per FTE student in 1970, librarians per 1000 FTE students in 1971, and librarians as a percent of the total library staff in 1971. In keeping with the convention that information which can be found in published sources not be requested in questionnaires, these figures were supplied and actually written on the individual questionnaires before mailing for each library found in the Library Statistics of Colleges and Universities.[1] If the information was not available in this source then the librarian was asked to furnish these statistics.

Several of the faculty members of the Graduate Department of Library and Information Sciences at Brigham Young University reviewed the questionnaire making helpful suggestions which were incorporated. The questionnaire was pretested with ten librarians at Brigham Young University's Lee Library during the second week in May. Several revisions of a minor sort resulted. (The cover letter and questionnaire are found in appendix B.)

Identifying the Population

For the purposes of this research, "college library" was defined as one which supports an academic institution which grants at least the Bachelor's degree, and may or may not have Master's programs. The basic information source used to identify these

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[1] U.S. Department of Health, Education and Welfare. Office of Education. National Center for Educational Statistics. Library Statistics of Colleges and Universities. Institutional Data, Fall 1971. (Washington, D.C.: Government Printing Office, 1972).

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schools was the Education Directory 1969-70. Higher Education.[1] The Education Directory lists all American colleges and universities by state and provides, among other facts, information on the highest degree offered at each institution. Thus, it was a relatively simple matter to identify the "colleges" as defined for this study.

Sampling techniques were not used in the study. Instead, it was decided to survey collection evaluation practice in all colleges found in the eleven contiguous western United States. The population included 111 libraries in the states of Arizona (2), California (55), Colorado (10), Idaho (4), Montana (6), Nevada (1), New Mexico (4), Oregon (15), Utah (3), and Washington (11). The state of Wyoming had no academic institutions that met the established definition of college.[2] (See appendix A for the list of libraries surveyed.)

Having identified as of 1970 all of the colleges in the ten western States listed above, the American Library Directory was consulted to identify the names of the library directors as well as the mailing address for each library. The cover letter

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[1]U.S. Department of Health, Education and Welfare, Office of Education, National Center for Educational Statistics, Education Directory 1969-70. Higher Education, (Washington, D.C.: Government Printing Office, 1970).

[2]The Claremont Colleges, Claremont Men's, Harvey Mudd, Pitzer, Pomona, and Scripps, were not included in the population because they are supported jointly by one library, Honnold Memorial Library. It was decided that this fact of joint usership would make Honnold Library atypical of the other libraries in the population.

[3]Helaine MacKeigan, comp., American Library Directory. 1972-73, 28th ed. (New York: R.R. Bowker Company, 1972).

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was in each case addressed to the director. He was invited to respond personally to the questionnaire or to have another staff member more closely associated with collection development answer the questionnaire instead.

The refined questionnaire was mailed under the cover letter to the directors of the 111 libraries in the population on May 17, 1974, and it was requested that the completed questionnaire be returned as soon as possible. A stamped, self-addressed envelope was provided for this purpose.

Analysis of the Survey Returns

By June 21, the cut-off date for returns, eighty completed questionnaires had been received of the 111 originally mailed. No follow-up procedures were used for those not responding. This 72.8 percent return was considerably higher than the 50 percent return which had been expected. While it was conceivable that the remaining 27.2 percent of the population might change the results obtained from the survey, the author thought it unlikely.

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CHAPTER IV

PREPARATION AND ANALYSIS OF THE DATA

Preliminaries

The information from the eighty questionnaires was transferred to computer cards and the Statistical Package for the Social Sciences (SPSS) computer program was used to generate percentages and frequency distributions for the various categories established in the questionnaire. In addition, responses for the questions on comprehensive and limited evaluations were cross-tabulated with the three library variables of total volumes held, volumes added, and librarians as a percent of the total library staff.

The research design had important implications for the types of analysis which were appropriate for the data, and for the kinds of statements that could be supported by the data. Of prime importance for the analysis was the fact that no sampling techniques had been used. Rather, a population had been defined, every member of which had received the questionnaire. Consequently, statistical testing of the data was inappropriate. The results of the survey were descriptive only of the activities of the libraries responding to the questionnaire.

Quantitative Techniques

The quantitative methods surveyed included the collection

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of statistics and the application of the Clapp-Jordan formula. The overwhelming majority of the responding libraries (91.3 percent) claimed to collect statistics of one sort or another. The total volumes and volumes added statistics were the most widely collected varieties with 83.8 percent and 83.1 percent respectively of the respondents indicating that they used these measures. Circulation figures and annual book expenditure statistics were next with 70 percent and 72.5 percent respectively. Proportional analysis of holdings, and interlibrary loan requests were both checked by 57.5 percent of the respondents. Finally, unfilled book requests were checked by one-fourth, or 25 percent, of the respondents. Thus, those statistical measures which give relatively more general information about the qualitative character of the collections, proportional analysis of holdings by subject group, interlibrary loan requests, and unfilled book requests, were less widely collected and used than those which deal with gross totals.

Less than one-fifth of the respondents (18.8 percent) claimed to have applied the Clapp-Jordan formula to their library. Of these libraries, three had collections of less than 50,000 volumes. Since the formula requires a basic core collection of more than 50,000 volumes before any of the other factors come into play, the author wondered of what possible value the formula had been to them. It is probable, then, that the 18.8 percent figure as a description of the authentic use of the formula among the respondents is inflated (see Graph 1).

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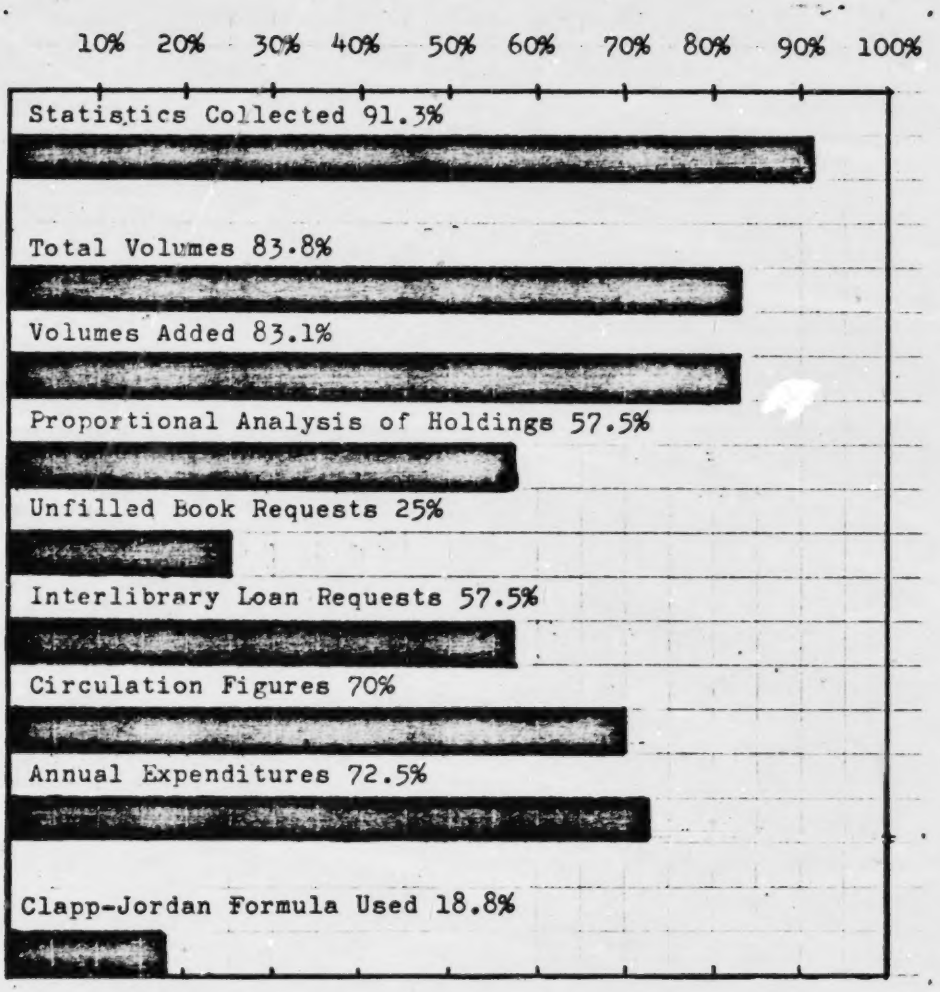
10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
Statistics Collected 91.3%
Total Volumes 83.8%
Volumes Added 83.1%
Proportional Analysis of Holdings 57.5%
Unfilled Book Requests 25%
Interlibrary Loan Requests 57.5%
Circulation Figures 70%
Annual Expenditures 72.5%
Clapp-Jordan Formula Used 18.8%

Graph 1. Percentages of Responding Libraries Using Various Quantitative Techniques in Collection Evaluation.

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Qualitative Techniques

The qualitative methods surveyed included the use of user opinion surveys, checklist bibliographies, and direct observation. The survey question on user opinion was phrased to emphasize the idea that opinion must be systematically solicited; of the responding libraries, 26.3 percent claimed to have done so. User groups surveyed were faculty (22.5 percent), students (21.3 percent), and librarians (8.8 percent).

The use of checklist bibliographies was by far the most widely used qualitative method with 92.5 percent of the responding libraries claiming to have used it. An analysis of the types of lists used provided some insights into the process. The least-used type was the ad hoc list with 21.3 percent. Because such lists can be specially tailored to the goals of the individual library they are most highly recommended in the literature. The lists most criticized in the literature were the basic general lists which 82.5 percent of the respondents claimed to have used. Current "best books" lists (60 percent) and course reading lists (65 percent) were used by a majority of libraries responding. These kinds of lists were considered in the literature to be less valid as evaluative tools than other kinds of lists. Winchell's standard work was used by nearly three-fourths of the respondents (72.5 percent), and subject bibliographies were used by 71.3 percent. Lyle's periodicals list was used by about one-half (53 percent), while the use of citations in evaluation was reported by only 25 percent. Exactly 50 percent of the respondents claimed to have used direct observation, the third qualitative technique surveyed (see Graph 2).

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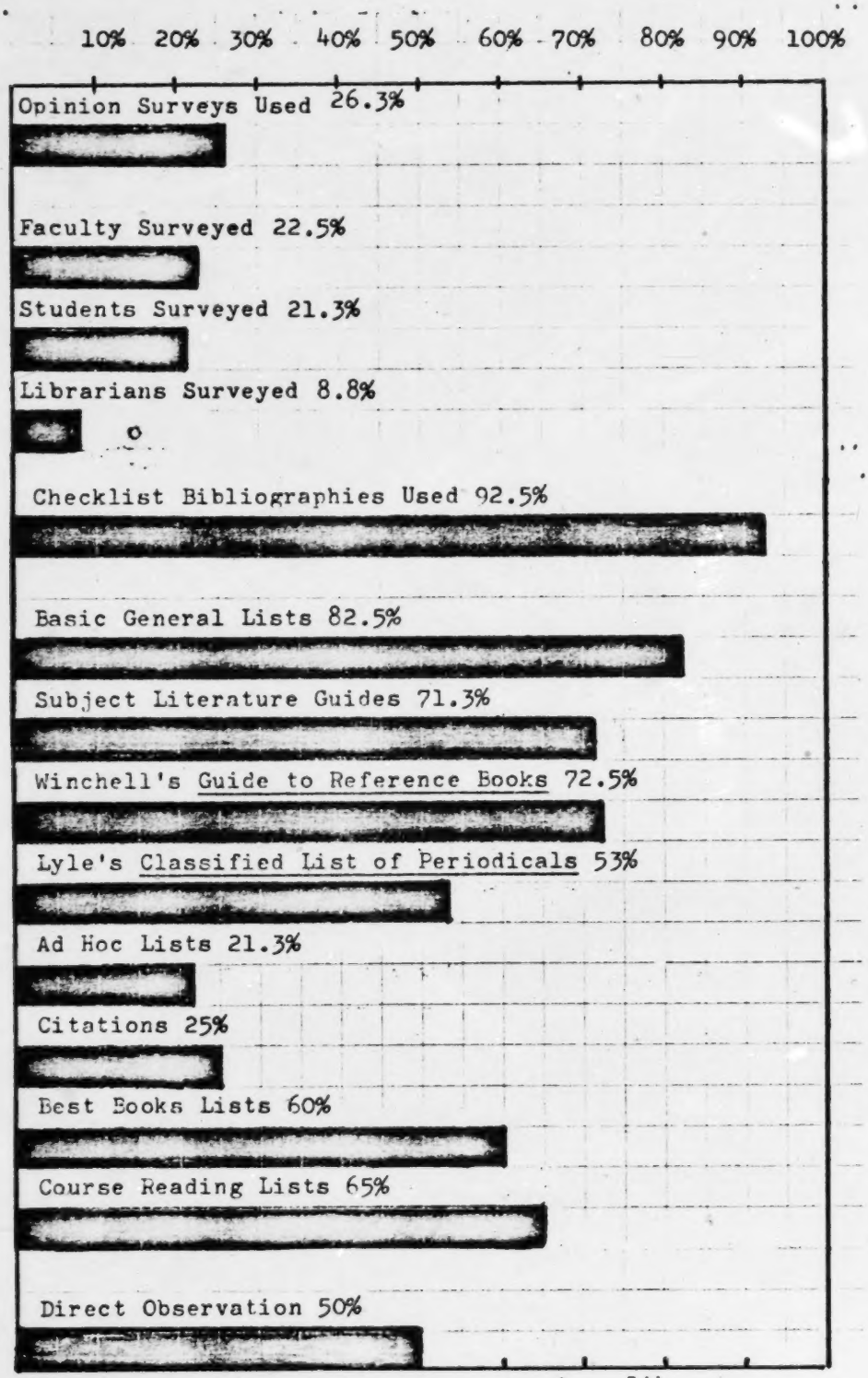
10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
Opinion Surveys Used 26.3%
Faculty Surveyed 22.5%
Students Surveyed 21.3%
Librarians Surveyed 8.8%
Checklist Bibliographies Used 92.5%
Basic General Lists 82.5%
Subject Literature Guides 71.3%
Winchell's Guide to Reference Books 72.5%
Lyle's Classified List of Periodicals 53%
Ad Hoc Lists 21.3%
Citations 25%
Best Books Lists 60%
Course Reading Lists 65%
Direct Observation 50%

Graph 2. Percentages of Responding Libraries Using Various Qualitative Techniques in Collection Evaluation.

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Comprehensive or Limited Evaluation

Having surveyed the use of the individual evaluation techniques, the questionnaire asked whether formal collection evaluations, either comprehensive or limited, had been performed. The question on comprehensive evaluations required that four criteria be met in order to answer positively. First, the evaluation must have extended over a discrete period of time, thus requiring that it be organized; second, the evaluation must have dealt with the library's collections in their entirety; third, the evaluation must have used checklists of some sort; and fourth, quantitative measures must have been used. A second question asked if subject portions of the collection had been evaluated using both checklists and statistical measures. Among the respondents, 70 percent claimed to have performed evaluations of limited scope, while only 47.3 percent indicated that comprehensive evaluations had been performed within the definitions established in the question (see Graph 3).

These two questions on the scope of evaluation were cross-tabulated with the data on library size in volumes, acquisitions rates in volumes added, and librarians as a percent of the total library staff, to see how these factors related to evaluation in the libraries responding. There appeared to be a tendency for the use of limited evaluations to increase and for the use of comprehensive evaluations to decrease with increases in total volumes held. For example, among the eleven libraries holding less than 30,000 volumes about 54 percent claimed a comprehensive evaluation and about 62 percent claimed evaluations of limited scope. However, among the twelve libraries holding more than 150,000 volumes,

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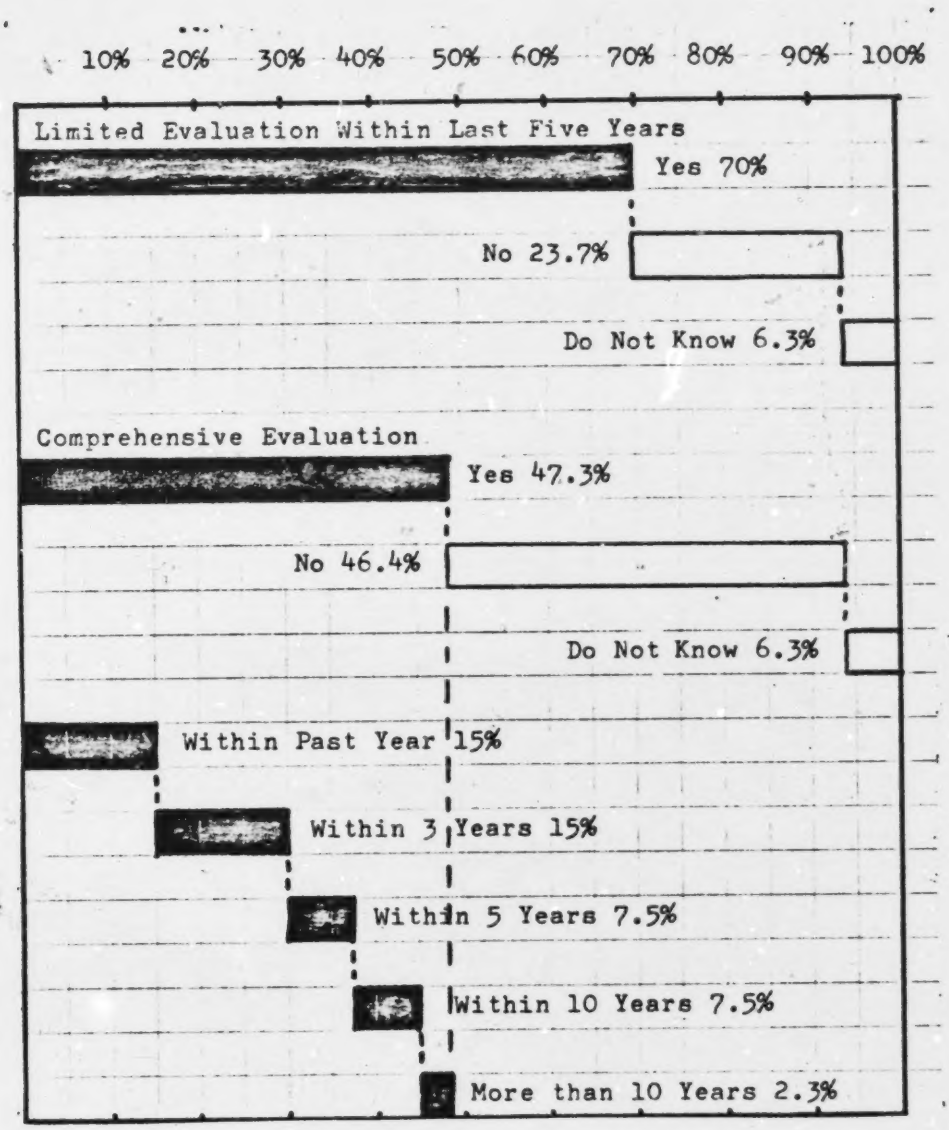

Graph 3. Percentages of Responding Libraries Which Have Made Limited and Comprehensive Collection Evaluations.

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only 25 percent claimed comprehensive evaluations while 75 percent claimed evaluations of limited scope. With all groups but one, limited evaluation had been used more than comprehensive surveys (see Graph 4).

Basically, the same relationship appeared to exist between the scope of evaluation and volumes added per year. With an increase in the acquisitions rate the use of comprehensive surveys decreased while the use of limited surveys increased. Of the twelve libraries having acquisitions rates of less than 2000 volumes per year, 50 percent claimed to have made a comprehensive evaluation and 58 percent claimed to have made limited evaluations. Of the sixteen libraries with acquisitions rates above 10,000 volumes about 31 percent claimed to have had comprehensive evaluations, while nearly 89 percent claimed to have had limited evaluations. Here again for each group limited evaluations were more used than the comprehensive type (see Graph 5).

The relationships between the factor of librarians as a percent of the total library staff and the scope of evaluation activity appeared to be less clear-cut. Interestingly, in the group of libraries claiming more than 80 percent librarians on the staff (a number far in excess of current library standards and personnel trends) comprehensive evaluations were more often performed (68 percent) than the limited variety (58 percent). In this instance, too, except for the group of libraries just discussed, limited evaluations had been made by higher percentages of the respondents than the comprehensive type (see Graph 6).

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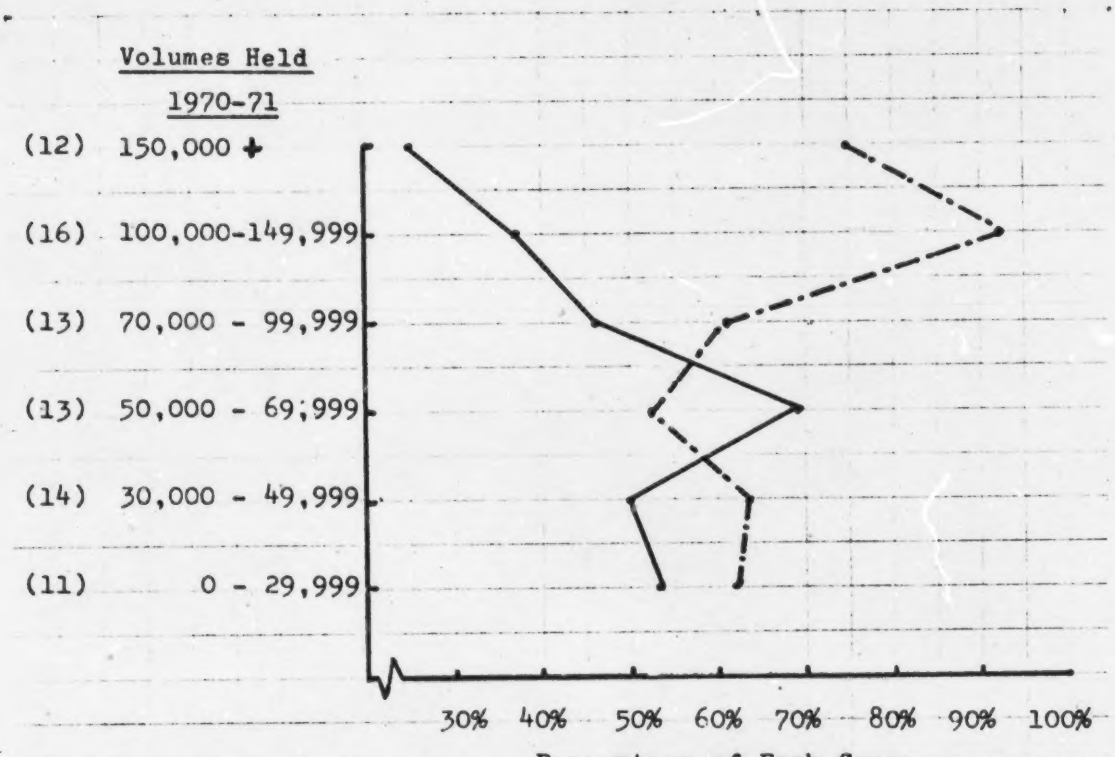

Key:
Comprehensive Evaluation: ——————
Limited Evaluation: —·—·—·—·—
Number of Responding Libraries Within This Group: ( )

Graph 4. Percentages of Responding Libraries Which Have Made Limited and/or Comprehensive Evaluations of Their Collections: Compared by Volumes Held.

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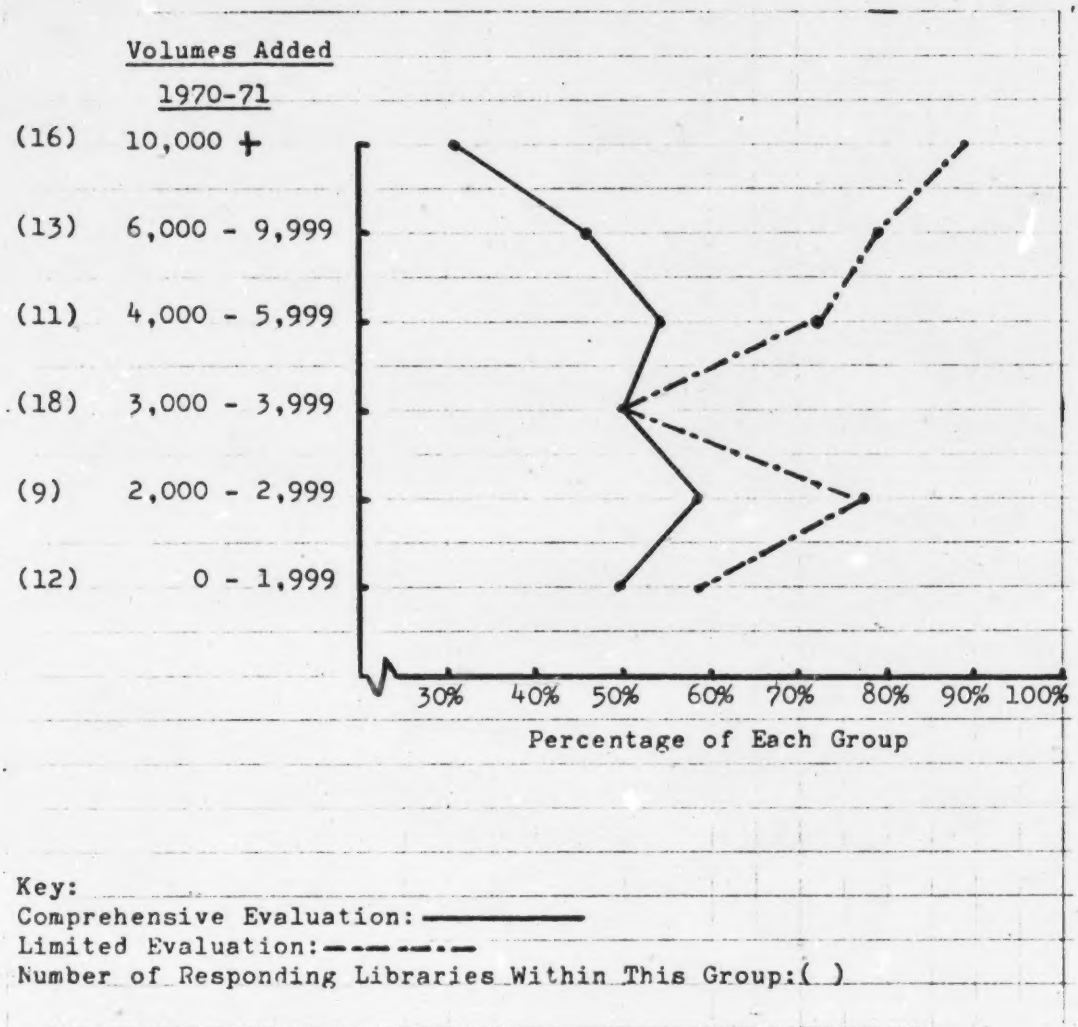
Volumes Added
1970-71
(16) 10,000 +
(13) 6,000 - 9,999
(11) 4,000 - 5,999
(18) 3,000 - 3,999
(9) 2,000 - 2,999
(12) 0 - 1,999
30% 40% 50% 60% 70% 80% 90% 100%
Percentage of Each Group
Key:
Comprehensive Evaluation: ——————
Limited Evaluation: — — — — —
Number of Responding Libraries Within This Group: ( )

Graph 5. Percentages of Responding Libraries Which Have Made Limited and/or Comprehensive Evaluations of Their Collections; Compared by Volumes Added.

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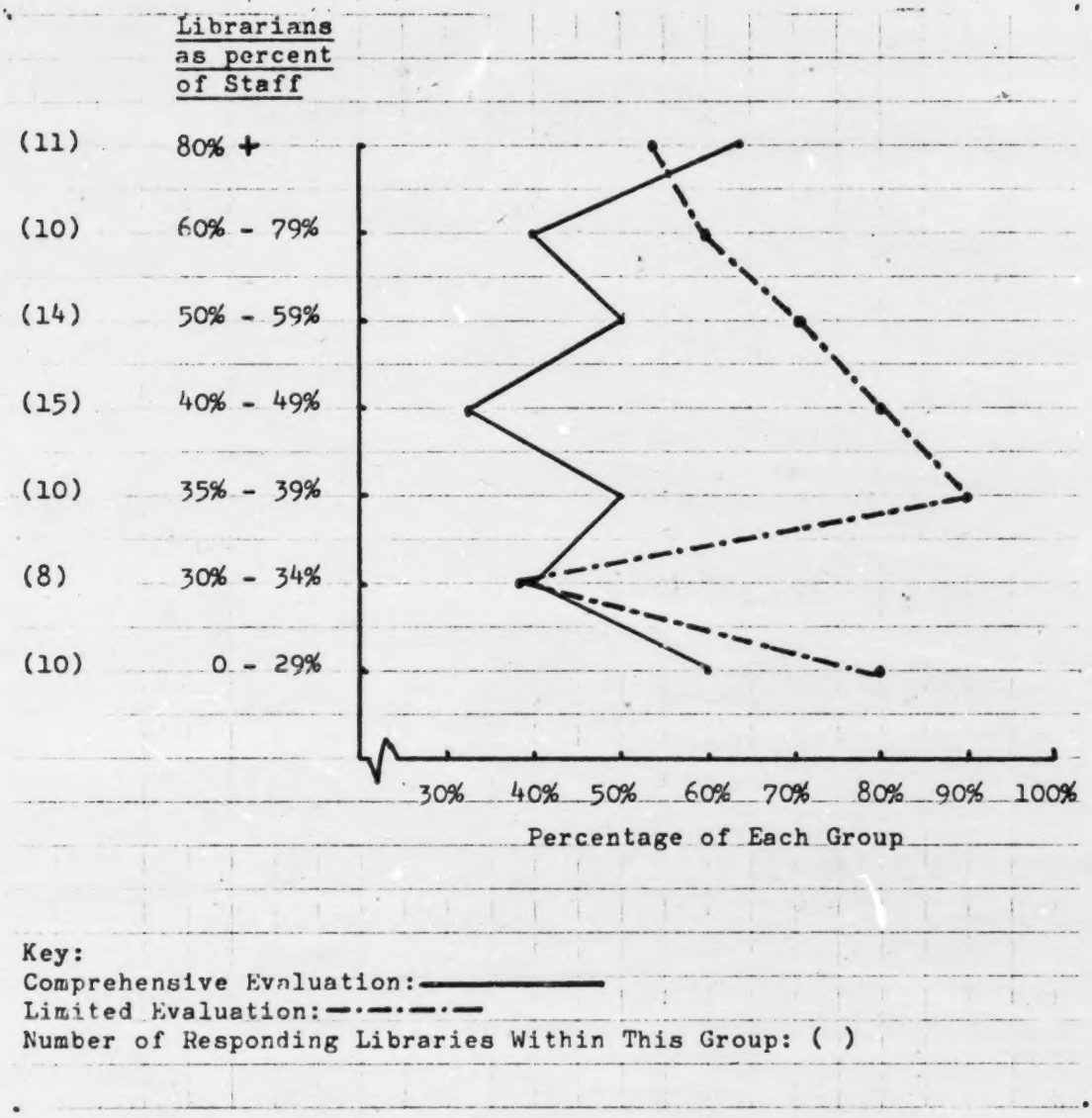
Librarians as percent of Staff
(11) 80% +
(10) 60% - 79%
(14) 50% - 59%
(15) 40% - 49%
(10) 35% - 39%
(8) 30% - 34%
(10) 0 - 29%
30% 40% 50% 60% 70% 80% 90% 100%
Percentage of Each Group
Key:
Comprehensive Evaluation:
Limited Evaluation:
Number of Responding Libraries Within This Group: ( )

Graph 6. Percentages of Responding Libraries Which Have Made Limited and/or Comprehensive Evaluations of Their Collections: Compared by Number of Librarians as Percent of Library Staff.

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Evaluation as a Process

The questionnaire was constructed to reflect collection evaluation as a process. The first question dealt with a current written statement of library goals within the framework of which an objective evaluation could take place. Questions then proceeded to survey the use of the various quantitative and qualitative tools of evaluation. Two questions were asked on the scope of the evaluations which had been made, and finally it was asked if the evaluation had produced written status reports and recommendations. (The responses to the questionnaire are summarized in Graph 7.)

Particular importance was attached to the concept of evaluation as a process which consists of three basic components. The first of these is the current written statement of goals which provides the framework for the evaluation. Of the libraries responding, 38.5 percent indicated that they had such a statement. The second component consists of the use of the evaluation tools themselves within a structured evaluation of either limited or comprehensive scope. Eighty-one percent of the libraries responding indicated that some such structured evaluation had been done. The final component consists of a written report on the status of the collections and/or recommendations for future collection building, again within the context of the written statement of goals. Only 18 percent of the libraries responding, which had done some organized evaluation, claimed that a status report or a recommendation after the evaluation had "always" been written. This was the same percentage of libraries in which there was "never" any written feedback after an evaluation. Another 38 percent of the libraries

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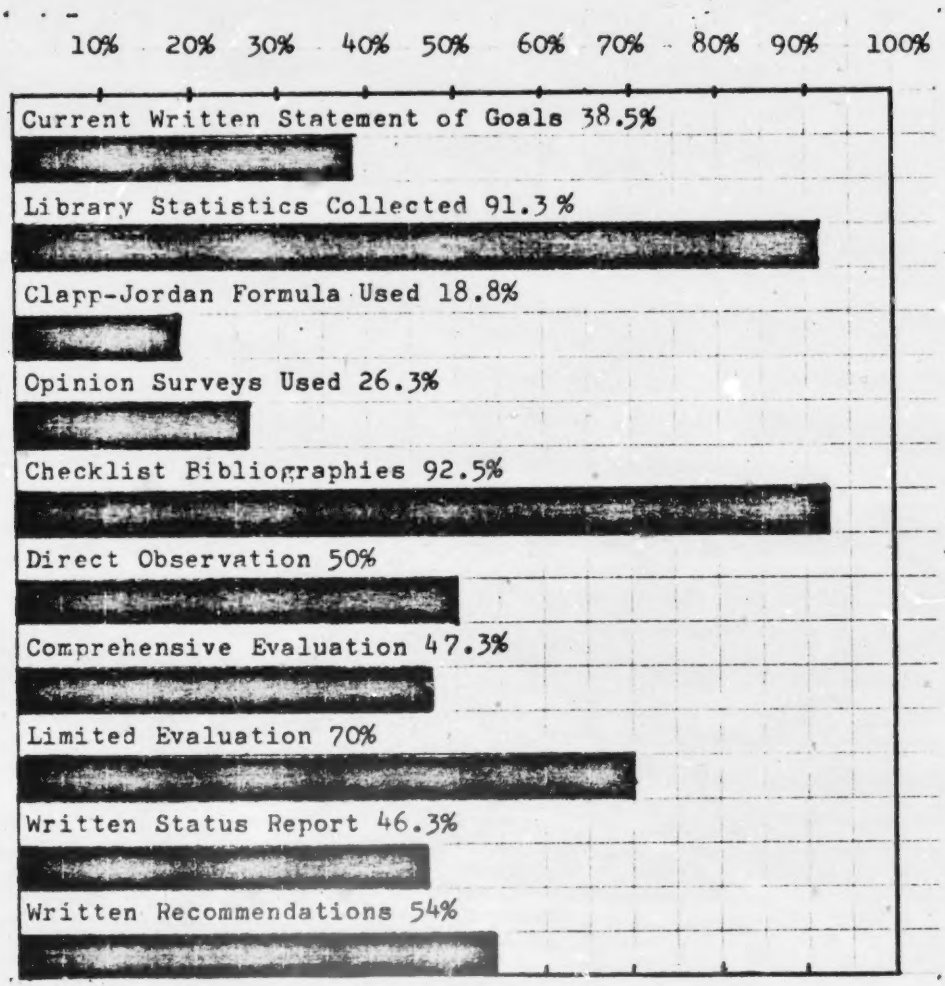

Graph 7. Summary of Questionnaire: Percentages of Responding Libraries Using Various Collection Evaluation Techniques and Processes.

responding which had evaluated in some fashion "sometimes" wrote reports and recommendations (see Graph 8).

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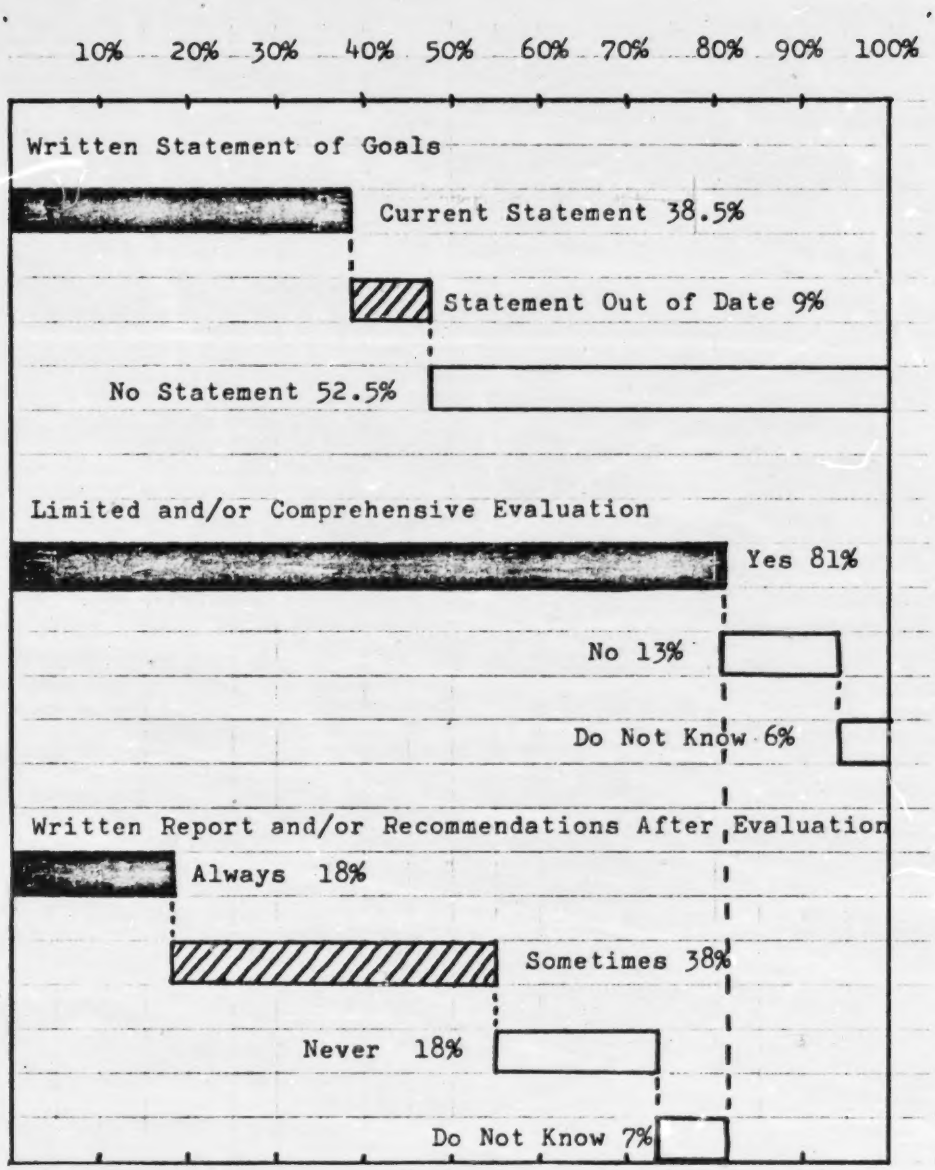

Graph 8. The Evaluation Process: Percentages of Responding Libraries Having Written Statement of Goals, Making Collection Evaluation, and Writing Report and/or Recommendations.

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CHAPTER V

CONCLUSIONS

Restatement of the Problem

The study compared the principles, techniques, and procedures of collection evaluation found in the literature with collection evaluation practice as found within college libraries in the western United States. The purpose of the study was to see if college librarians had, in fact, evaluated their collections, and if evaluation had taken place, to identify the methods used and the relative degree to which they had been employed. It was assumed that quantitative measures would predominate over the use of qualitative techniques; that collection evaluations of limited scope would be more prevalent than comprehensive evaluations; and that evaluation activities would generally not produce written status reports and recommendations for future collection development.

Conclusions

While the author had no reason to think that the picture painted here of collection evaluation was not typical of other college libraries, still the methods used and the data generated did not support generalization of the findings beyond the geographic area specified, nor to any other type of library within that area.

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Having analyzed the data concerning the use of quantitative and qualitative techniques among the respondents, the author concluded that the first assumption, that quantitative techniques would have been used in more libraries than the qualitative methods, was not supported. The overall use of collection statistics (the main technique in the quantitative group) and of checklists (the main method from the qualitative group) among the population was very high, and almost identical. The use of statistics was reported by 91.3 percent of the respondents, while 92.5 percent of the respondents reported having used checklists.

It was important to ask if the use of these tools and methods had been actually integrated into an organized process of collection evaluation. The answer to that question was perhaps beyond the power of the questionnaire as a research instrument to provide.

The second assumption, that limited evaluations would be used by a greater percentage of responding libraries than comprehensive evaluations, received strong support. Of the respondents 70 percent claimed to have performed limited evaluations while 47.3 percent claimed to have conducted comprehensive evaluations of their collections. The data indicated that the greater prevalence of limited evaluations was generally characteristic of all libraries responding, whether analyzed by gross totals in the population (Graph 3), total volumes held (Graph 4), volumes added (Graph 5), or librarians as a percent of the total library staff (Graph 6).

The third assumption, that evaluations of either comprehensive or limited scope would generally not result in a written final report, was also supported by the data. Eighteen percent

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of the respondents, which had also claimed to have evaluated their collections, indicated that a final report had always been written. An equal number of evaluating libraries indicated that written reports had never been prepared on evaluations. Thirty-six percent of the respondents, which had also evaluated, claimed that final reports had sometimes been prepared.

On the basis of the analysis of the data the author concluded that in the college libraries surveyed, librarians claimed to have made wider use of the evaluative tools than had been anticipated, yet it was thought that there had not been a proportionate amount of authentic evaluation that had taken place. The author contended that because of a failure to conceive of the evaluation of collection adequacy as a process, much of the evaluation activity that had taken place was not functional. Of the librarians responding, 81 percent claimed to have performed some organized evaluation of the collections, yet less than one-half of these (38.5 percent of those responding) had a current statement of library goals. More than 50 percent of the librarians responding had no statement of goals or objectives which could serve as the basis for an evaluation. Finally, in only 18 percent of the libraries responding was a final report of the evaluation always prepared.

It would be arbitrary to insist that no useful collection evaluation can be done without producing written results. However, the author was not convinced that the negative assumption was not warranted. If the evaluation was not taken seriously enough by the library to merit or require some written document that could serve as feedback to the system, then it either was not collection

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evaluation as described in the literature, or it was non-functional evaluation serving no constructive end but the satisfaction of the librarian's curiosity. If the evaluation is to guide acquisition policy in the future, then documentation will be needed at least for the internal use of the library staff. Such reports provide for a continuity of policy. Edwin Williams contended, however, that collection evaluations are very often made for the purpose of exerting influence on decision-making outside of the library organization, notably within the budgetary machinery of the college or university.[1] If either of these considerations is valid, then to neglect the final step of making a written report which meets the bureaucratic needs discussed above is simply to short-circuit the evaluation process and to dissipate its thrust. On the basis of this line of argument, the author concluded that in only about one-fifth of the libraries responding had collection evaluation been performed in such a way as to maximize its impact on the development of the collection.

Recommendations for Further Study

It was probable that some libraries in the western States which met the established definition of college library in 1974 were not included in the population surveyed. The statistical source used in identifying the population contained information which was valid for 1969, not 1974. In the interim, junior colleges could have become colleges. By the same token, some colleges could have become universities by adding doctoral programs. Furthermore, schools were listed in the Education Directory only if they

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[1]Williams, "Surveying Library Collections," pp. 35-6.

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had furnished current information for inclusion by a certain cut-off date. Finally, simple physical oversight when using the source to identify the population could account for the absence of a library which should have been included. The author was confident that the population which was identified for the survey included the vast majority of college libraries in the states surveyed.

A matter of greater significance to the study involved the adequacy of the definition of "college library" which was used. The definition required that very dissimilar libraries be treated as though they were in fact similar. Another study of this sort should perhaps be more selective in choosing the libraries to be surveyed. Libraries supporting educational programs of similar scope, in breadth as well as depth, could be investigated.

This study identified three library variables and described what appeared to be their relationship to the collection evaluation process. It would be useful to test out other variables and identify patterns of collection evaluation with other types of libraries, e.g., university libraries.

While this study was concerned only with describing collection evaluation activity within the college library setting, other focuses on the problem would have particular relevance. Of great significance would be a study of practicing librarians' attitudes about the role that collection evaluation can and should play in the process of collection building. It would be useful to know whether practicing college librarians found the concepts and principles discussed here to be unrealistic and incompatible with the facts of library life, and, if so, why?

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Ultimately, the limitations of the questionnaire format as a tool for gathering the kinds of information sought by this study must be considered. A library may collect statistics and leave them in the book, never to refer to them. It is one thing to use a checklist for evaluation purposes and a far different thing to use it unintelligently as a buying guide. "If it's good enough for Harvard's Lamont Library, then it's good enough for us. Order every book we don't have." There is no way that such varied uses, or misuses, of the tools of evaluation can be differentiated at long distance through a questionnaire. To find how these techniques were actually applied within the libraries studied would have required at least some personal contact in addition to, or in place of, the simple questionnaire. With these considerations in mind, the author thought it would be useful to identify "evaluating" and "non-evaluating" libraries and to study personally these individual organizations in some depth. The study would determine what effect, if any, the use of the various evaluation techniques and processes has on the library in terms of the collections and the way the library is able to respond to the information needs of its patrons. The question to be answered would be, "Are the benefits claimed for collection evaluation real?"

APPENDIX A

LIST OF COLLEGE LIBRARIES SURVEYED

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APPENDIX A

LIST OF COLLEGE LIBRARIES SURVEYED

Arizona

Grand Canyon College, Fleming Library, Phoenix
Prescott College Library, Prescott

California

American Baptist Seminary of the West, Clark Hall Library, Covina
Armstrong College Library, Berkeley
Art Center College of Design Library, Los Angeles
Azusa Pacific College, Marshburn Library, Azusa
Bethany Bible College Library, Santa Cruz
Biola College, Rose Library, La Mirada
California Baptist College, Gabriel Library, Riverside
California College of Arts and Crafts, Meyer Library, Oakland
California Lutheran College Library, Thousand Oaks
California State Polytechnic College Library, Pomona
California State Polytechnic College Library, San Luis Obispo
California State College-Dominquez Hills Library, Dominquez Hills
California State College-Fullerton Library, Fullerton
California State College-Hayward Library, Hayward
California State College-Long Beach Library, Long Beach
California State College-San Bernardino Library, San Bernardino
Chapman College Library, Orange
College of Notre Dame, Belmont
Dominican College of San Rafael, Alemany Library, San Rafael
Fresno State College Library, Fresno
Holy Names College, Cushing Library, Oakland
Humboldt State College Library, Arcata
Immaculate Heart College Library, Los Angeles
Los Angeles Baptist College and Theological Seminary, Powell Library, Newhall
LaVerne College, Hoover Library, LaVerne
Loyola University of Los Angeles, Von Der Ahe Library, Los Angeles
Menlo College and School of Business Administration, Bowman Library, Menlo Park
Mills College Library, Oakland
Monterey Institute of Foreign Studies Library, Monterey
Mount Saint Mary's College, Coe Library, Los Angeles
Northrop Institute of Technology, Alumni Library, Inglewood
Occidental College, Clapp Library, Los Angeles

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Otis Art Institute of Los Angeles County Library, Los Angeles
Pasadena College Library, Pasadena
Pacific Christian College, Hurst Library, Long Beach
Pacific College, Hiebert Library, Fresno
Pacific Oaks College, Norman Library, Pasadena
Pacific Union College, Nelson Library, Augwin
Pepperdine University Library, Los Angeles
Sacramento State College Library, Sacramento
Saint Patrick's College Library, Mt. View
San Francisco Art Institute, Bremer Library, San Francisco
San Francisco Conservatory of Music Library, San Francisco
San Jose Bible College, Memorial Library, San Jose
University of San Francisco, Gleeson Library, San Francisco
Simpson College, Start-Kilgour Library, San Francisco
Southern California College, Budge Library, Costa Mesa
Sonoma State College Library, Rohnert Park
Stanislaus State College Library, Turlock
Russell College Library, Burlingame
West Coast University, University Center Library, Los Angeles
West Coast University-Orange County Center Library, Orange
Westmont College, Voskuyl Library, Santa Barbara
Whittier College, Wardman Library, Whittier
Woodbury College Library, Los Angeles

Colorado

Adams State College, Learning Resources Center, Alamosa
Colorado College, Tutt Library, Colorado Springs
Conservative Baptist Theological Seminary, Thomas Library, Denver
Fort Lewis College Library, Durango
Loretto Heights College, Stanton Library, Denver
Metropolitan State College Library, Denver
Regis College, Dayton Library, Denver
Saint Thomas Seminary Library, Denver
Southern Colorado State College Library, Pueblo
Temple Buell College, Porter Library, Denver

Idaho

Boise State College Library, Boise
College of Idaho, Terteling Library, Caldwell
Lewis and Clark State College Library, Lewiston
Northwest Nazarene College, Riley Library, Nampa

Montana

Carroll College Library, Helena
College of Great Falls, Great Falls
Eastern Montana College Library, Billings
Montana College Mineral Science and Technology Library, Butte
Northern Montana College Library, Havre
Rocky Mountains College, Adams Library, Billings

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Nevada

University of Nevada at Las Vegas, Dickenson Library, Las Vegas

New Mexico

College of Santa Fe Library, Santa Fe
New Mexico Highlands University Library, Las Vegas
University of Albuquerque, St. Joseph's Library, Albuquerque
Western New Mexico University, Miller Library, Silver City

Oregon

George Fox College, Shambaugh Library, Newberg
Lewis and Clark College, Watzek Library, Portland
Linfield College, Northup Library, McMinnville
Marylhurst College, Shoen Library, Marylhurst
Mt. Angel School Library, Saint Benedict
Mount Angel College Library, Mount Angel
Multonomah School of the Bible Library, Portland
Northwest Christian College Library, Eugene
Oregon Technical Institute Library, Oretech Branch, Klamath Falls
Pacific University, Scott Library, Forest Grove
Reed College, Hauser Library, Portland
Southern Oregon College Library, Ashland
Warner Pacific College, Linn Library, Portland
Western Baptist Bible College Library, Salem
Western Conservative Baptist Theological Seminary, Cline-Thunnell Library, Portland

Utah

Southern Utah State College Library, Cedar City
Weber State College Library, Ogden
Westminster College, Nightingale Library, Salt Lake City

Washington

Fort Wright College Library, Spokane
Gonzago University, Crosby Library, Spokane
Northwest College of the Assemblies of God Library, Kirkland
Pacific Lutheran University, Mortvedt Library, Tacoma
Saint Martin's College Library, Olympia
Seattle Pacific College, Weter Library, Seattle
Seattle University, Lemieux Library, Seattle
University of Puget Sound, Collins Library, Tacoma
Walla Walla College Library, College Place
Whitman College, Penrose Library, Walla Walla
Whitworth College, Cowles Library, Spokane

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APPENDIX B

COVER LETTER AND QUESTIONNAIRE

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May 16, 1974

Dear

I am studying the evaluation of library collections. The enclosed questionnaire, which I am circulating to the directors of academic libraries in ten of the western states, is meant to provide me with descriptive data on collection evaluation practices in those libraries.

I solicit your help in my study. I am anxious to have either your personal responses to the questionnaire or those of another librarian on your staff who might be more closely associated with collection development than you. I want to make it clear that your responses will be kept confidential. I will make no effort to identify sets of data with individual libraries. I am interested only in the data in the aggregate. The information on each questionnaire will be keypunched and tabulated into frequency distributions by a computer.

I would be very grateful if you would give the questionnaire five minutes of your time at your earliest convenience and then mail it back in the stamped, self-addressed envelope which is enclosed.

I do appreciate your help. Thank you.

Sincerely,

Douglas M. Abrams

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COLLECTION EVALUATION IN ACADEMIC LIBRARIES

Please ignore the numbering which is used only for computer tabulation purposes.

1. Do you have a current written statement of goals, objectives and functions to be served by your library which includes a collection development statement?
   ___ (1) No written statement
   ___ (2) Written statement, but out of date
   ___ (3) Yes, current written statement
   ___ (4) Other (specify) _____
   _____

2. Are library statistics, like those listed in #3-9 directly below, systematically collected in your library?
   ___ (1) No
   ___ (2) Yes

   If your answer to #2 is yes, specifically which of the follow-indexes have been used in the evaluation of the collections? (Mark all appropriate answers.)
   ___ 3. Total volumes in the collection
   ___ 4. Volumes added per year
   ___ 5. Proportional analysis of holdings by basic subject class
   ___ 6. Unfilled book requests
   ___ 7. Interlibrary loan requests by your library's patrons
   ___ 8. Circulation figures for groups of users, or proportional analysis of circulation statistics by subject classes
   ___ 9. Annual expenditures for books, periodicals, and salaries, and comparison of similar data from comparable libraries
   ___ 10. Other (specify) _____
   _____

13. Has the Clapp-Jordan formula been applied to your library to establish a quantitative standard of adequacy of library resources for your college?
   ___ (1) No
   ___ (2) Yes

14. Have formal user opinion surveys been used in evaluating collection adequacy?
   ___ (1) No
   ___ (2) Yes

   If your answer to #14 is yes, which of the following groups of users were queried? (Mark all appropriate answers.)
   ___ 15. Teaching faculty
   ___ 16. Students
   ___ 17. Librarians
   ___ 18. Other (specify) _____

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21. Have checklist bibliographies been used in your collection evaluations?
___ (1) No
___ (2) Yes

If your answer to #21 is yes, which of the following types of lists have been used? (Mark all appropriate answers.)
___ 22. Basic general lists like Books for College Libraries or catalogs of libraries like Harvard's Lamont, or Princeton's Julian Street
___ 23. Guides to subject literatures; specialized subject bibliographies
___ 24. Lists of reference works like Winchell's Guide to Reference Books
___ 25. Lists of periodicals like Lyle's Classified List of Periodicals
___ 26. Ad hoc lists drawn specifically for your evaluation project
___ 27. Citations (footnotes, bibliographies) of theses, journal articles, definitive works, etc.
___ 28. Lists of "best" books published in specific or current years
___ 29. Reading lists and bibliographies for courses taught on your campus
___ 30. Other (specify)_____
_____

33. Has direct and organized observation of the collection to determine size, scope, depth, and recency been used to evaluate your collections?
___ (1) No
___ (2) Yes

34. Has a systematic and comprehensive evaluation of your library's collections been done? (The question implies that the evaluation process 1) extended over a discrete period of time; 2) involved most of the library's collections; 3) employed checklists of some sort; and 4) used quantitative and other techniques.)
___ (1) No, there has been no such evaluation
___ (2) Yes, within the past year
___ (3) Yes, within the past 3 years
___ (4) Yes, within the past 5 years
___ (5) Yes, within the past 10 years
___ (6) Yes, more than 10 years ago
___ (7) Do not know

35. Have specific portions of the collections, e.g. psychology or physics, been evaluated within the past 5 years using checklists and other evaluative techniques?
___ (1) No
___ (2) Yes
___ (3) Do not know

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36. Did the evaluation(s), either comprehensive or limited, result in a final written report on the status of the collections?
___ (1) Written report(s) never prepared
___ (2) Written report(s) sometimes prepared
___ (3) Written report(s) prepared for each evaluation
___ (4) Do not know

37. Did the evaluation(s), either comprehensive or limited, result in a final written statement which included recommendations for future collection development?
___ (1) No recommendations proposed
___ (2) Recommendations sometimes proposed
___ (3) Recommendations proposed with each report
___ (4) Do not know

The following data for your library were obtained from the Statistics of College and University Libraries 1970-71. The data are given below so that the anonymity of each questionnaire can be maintained in the keypunching process. Data for items marked NA below were not available in my source. If they are conveniently available to you please supply them for 1970-71.

38. ___ Total Volumes held in 1970-71* _____

39. ___ Volumes added in 1970-71* _____

40. ___ Expenditures for books and other printed materials 1970-71 _____

41. ___ Volumes per FTE Student, Fall 1971 _____

42. ___ Expenditures per FTE Student, Fall 1970 _____

43. ___ Librarians per 1,000 FTE Students, Fall 1970 _____

44. ___ Librarians as percent of total regular library staff (FTE), Fall 1971 _____ ___

* Exclusive of government documents and mocroforms; inclusive of bound periodicals.

THANK YOU FOR YOUR HELP!

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NOTE: Responses to questions 38-44 were keyed into the following breakdowns for the keypunching and tabulating process after the questionnaire was returned.

38. Total Volumes held in 1970-71
___ (1) 0-29,999
___ (2) 30,000-49,999
___ (3) 50,000-69,999
___ (4) 70,000-99,999
___ (5) 100,000-149,999
___ (6) 150,000-249,999
___ (7) 250,000 and above
___ (8) Not available

39. Volumes added in 1970-71
___ (1) 0-1,999
___ (2) 2,000-2,999
___ (3) 3,000-3,999
___ (4) 4,000-5,999
___ (5) 6,000-9,999
___ (6) 10,000-19,999
___ (7) 20,000 and above
___ (8) Not available

40. Expenditures for books and other printed materials 1970-71
___ (1) 0-$9,999.
___ (2) $10,000-$19,999
___ (3) $20,000-$39,999
___ (4) $40,000-$99,999
___ (5) $100,000-$199,999
___ (6) $200,000 and above
___ (7) Not available

41. Volumes per FTE Student
___ (1) 0-19.9
___ (2) 20-39.9
___ (3) 40-49.9
___ (4) 50-79.9
___ (5) 80-119.9
___ (6) 120 and above
___ (7) Not available

42. Expenditures per FTE Student
___ (1) 0-$39.99
___ (2) $40-$59.99
___ (3) $60-$74.99
___ (4) $75-$89.99
___ (5) $90-$104.99
___ (6) $105-149.99
___ (7) $150 and above
___ (8) Not available

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43. Librarians per 1000 FTE Students

___ (1) 0-1.4
___ (2) 1.5-2.4
___ (3) 2.5-3.4
___ (4) 3.5-4.9
___ (5) 5.0 and above
___ (6) Not available

44. Librarians as percentage of total library staff

___ (1) 0-29.9%
___ (2) 30-34.9%
___ (3) 35-39.9%
___ (4) 40-49.9%
___ (5) 50-59.9%
___ (6) 60-79.9%
___ (7) 80% and above
___ (8) Not available

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